



IAPD Report

JAMES DANIEL HITCHCOCK

CRD# 1333451

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

JAMES DANIEL HITCHCOCK (CRD# 1333451)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	04/17/2009
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	04/17/2009

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **17** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	OPPENHEIMER & CO. INC.	249	NEWPORT BEACH, CA	02/13/2003 - 04/23/2009
B	OPPENHEIMER & CO. INC.	249	NEWPORT BEACH, CA	01/03/2003 - 04/23/2009
B	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY	01/02/2001 - 01/03/2003

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **17** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 705

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/17/2009
B	Investors' Exchange LLC	General Securities Representative	Approved	09/09/2025
B	MEMX LLC	General Securities Representative	Approved	09/09/2025
B	NYSE American LLC	General Securities Representative	Approved	04/17/2009
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/09/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/09/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/17/2009
B	Nasdaq Stock Market	General Securities Representative	Approved	04/17/2009
B	New York Stock Exchange	General Securities Representative	Approved	04/17/2009
B	Arizona	Agent	Approved	07/14/2015
B	Arkansas	Agent	Approved	09/09/2025
B	California	Agent	Approved	04/17/2009
IA	California	Investment Adviser Representative	Approved	04/17/2009



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	07/18/2022
B Florida	Agent	Approved	08/06/2013
B Hawaii	Agent	Approved	07/10/2025
B Maine	Agent	Approved	09/11/2009
B Massachusetts	Agent	Approved	07/22/2015
B Michigan	Agent	Approved	09/16/2015
B Montana	Agent	Approved	10/03/2024
B Nevada	Agent	Approved	05/07/2020
B New York	Agent	Approved	08/24/2011
B Oregon	Agent	Approved	04/21/2009
B South Carolina	Agent	Approved	05/23/2024
B Texas	Agent	Approved	01/26/2021
B Washington	Agent	Approved	04/05/2024
B Wyoming	Agent	Approved	08/02/2011

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
620 NEWPORT CTR DR
SUITE 900
NEWPORT BEACH, CA 92660



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B	General Securities Representative Examination (S7)	Series 7	10/18/1986
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/15/1996
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/29/1988
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/13/2003 - 04/23/2009	OPPENHEIMER & CO. INC.	CRD# 249	NEWPORT BEACH, CA
B	01/03/2003 - 04/23/2009	OPPENHEIMER & CO. INC.	CRD# 249	NEWPORT BEACH, CA
B	01/02/2001 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	08/22/1995 - 01/10/2001	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	11/15/1999 - 11/17/1999	FIRST UNION SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	06/17/1991 - 08/17/1995	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	06/20/1988 - 06/20/1991	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	10/24/1986 - 06/20/1991	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	07/23/1987 - 06/15/1988	CROWELL, WEEDON & CO.	CRD# 193	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2009 - Present	RAYMOND JAMES & ASSOCIATES, INC.	FINANCIAL ADVISOR	Y	NEWPORT BEACH, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

(1)Name of Business: Hitchcock Address: 179 Niblick Road # 169, Paso Robles, CA, 93446, United States Activity Type: Control Person Position/Title: Trustee (Acting) Investment Related: Yes Start Date: 08/01/1996 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Trustee/Successor Trustee. I am a court appointed trustee responsible for investing the trust assets according to the risk and return objectives of the trust and gifting annually

(2)Name of Business: Jim Hitchcock Room Rental Service Address: Aliso Viejo, CA, 92656, United States Activity Type: Rental



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 09/01/2016 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I am renting out my rooms at my home

(3)Name of Business: The Chancers Address: Aliso Viejo, CA, 92656, United States Activity Type: Other Position/Title: Musician Investment Related: No Start Date: 06/01/2019 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I play in a band primarily for creative fun that performs on average about once per month typically on a Friday or Saturday afternoon or evening



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Raymond James & Associates, Inc.
Allegations:	Suitability, Breach of Fiduciary Duty, Constructive Fraud, Fraud by Misrepresentation and Omission, Breach of Written Contract, Violation of State and Federal Securities Law, Violation of FINRA Rules of Fair Practice and Violation of NYSE Rules. Activity Dates 5/2009- 05/2016
Product Type:	No Product
Alleged Damages:	\$325,582.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-01685
Filing date of arbitration/CFTC reparation or civil litigation:	06/09/2016

Customer Complaint Information

Date Complaint Received:	06/17/2016
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Complaint Pending? No
Status: Settled
Status Date: 08/24/2017
Settlement Amount: \$100,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CLAIMANT ALLEGES THAT MR. HITCHCOCK CHURNED HER FATHER'S ACCOUNT, RECOMMENDED UNSUITABLE SECURITIES AND MISREPRESENTED THE RISKS ASSOCIATED WITH HIS INVESTMENTS

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,060,000.00

Customer Complaint Information

Date Complaint Received: 11/02/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 11/02/2004
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 04-07035
Date Notice/Process Served: 11/02/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 11/18/2005
Monetary Compensation Amount: \$60,833.00
Individual Contribution Amount: \$0.00

Firm Statement WITHOUT ADMITTING ANY WRONGDOING, AND IN ORDER TO AVOID THE COST OF ARBITRATION, CIBC WORLD MARKETS CORP. AGREED TO PAY CLAIMANT \$60,833 IN EXCHANGE FOR A FULL AND FINAL RELEASE OF ALL CLAIMS AGAINST CIBC AND ITS FORMER ACCOUNT EXECUTIVE, JAMES HITCHCOCK. MR. HITCHCOK DID NOT CONTRIBUTE TO THE SETTLEMENT.

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Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PSI
Allegations: CLAIMANTS ALLEGE THAT FINANCIAL ADVISOR "ENGAGED IN GROSSLY EXCESSIVE TRADING ACTIVITIES": RECOMMENDED UNSUITABLE INVESTMENTS; MISREPRESENTED THE RISKS ASSOCIATED WITH VARIOUS INVESTMENTS.
Product Type: Mutual Fund(s)
Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 11/08/2004
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 04-07035
Date Notice/Process Served: 11/08/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 11/18/2005
Monetary Compensation Amount: \$15,833.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL EQUITY GROUP, LLC & CIBC WORLD MARKETS CORP.

Allegations: CLAIMANTS ALLEGE THAT FINANCIAL ADVISOR "ENGAGED IN GROSSLY EXCESSIVE TRADING ACTIVITIES": RECOMMENDED UNSUITABLE INVESTMENTS; MISREPRESENTED THE RISKS ASSOCIATED WITH VARIOUS INVESTMENT'S. CLAIMANT ALLEGES THAT MR. HITCHCOCK CHURNED HER FATHERS ACCOUNT, RECOMMENDED UNSUITABLE SECURITIES AND AND MISREPRESENTED THE RISKS ASSOCIATED WITH HIS INVESTMENTS.
Product Type: Mutual Fund(s)
Alleged Damages: \$2,060,000.00

Customer Complaint Information



Date Complaint Received: 11/02/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 11/08/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 04-07035

Date Notice/Process Served: 11/08/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/18/2005

Monetary Compensation Amount: \$76,666.00

Individual Contribution Amount: \$0.00

Broker Statement

WITHOUT ADMITTING ANY WRONGDOING, AND IN ORDER TO AVOID THE COST OF ARBITRATION, CIBC WORLD MARKETS CORP. AGREED TO PAY CLAIMANT \$60,833 IN EXCHANGE FOR A FULL AND FINAL RELEASE OF ALL CLAIMS AGAINST CIBC AND ITS FORMER ACCOUNT EXECUTIVE, JAMES HITCHCOCK. MR. HITCHCOCK DID NOT CONTRIBUTE TOWARDS THE SETTLEMENT.

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES

Allegations: ALLEGED "CHURNING" ALLEGED UNSUITABLE INVESTMENT RECOMMENDATIONS

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 06/20/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/20/2003

Settlement Amount:

Individual Contribution



Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO.03-03843

Date Notice/Process Served: 06/20/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/15/2004

Monetary Compensation Amount: \$18,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CLAIMANT ALLEGES THAT MR. HITCHCOCK CHURNED HIS ACCOUNT, RECOMMENDED UNSUITABLE SECURITIES AND IMPROPERLY EXERCISED DISCRETION. CLAIMANT ALLEGES DAMAGES OF \$500,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 06/16/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/16/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #03-03843

Date Notice/Process Served: 06/16/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/17/2004

Monetary Compensation Amount: \$58,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CLAIMANT ALLEGES THAT MR. HITCHCOCK CHURNED HIS ACCOUNT, RECOMMENDED UNSUITABLE SECURITIES AND IMPROPERLY EXERCISED DISCRETION. CLAIMANT ALLEGES DAMANAGES OF \$500,000.00.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 06/16/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/16/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #03-03843

Date Notice/Process Served: 06/16/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/17/2004

Monetary Compensation Amount: \$58,000.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PSI

Allegations: CLAIMANT ALLEGES THAT NAKED OPTION TRADES WERE UNSUITABLE.

Product Type: Options

Alleged Damages: \$900,000.00

Customer Complaint Information

Date Complaint Received: 06/15/2001

Complaint Pending? No



Status: Arbitration/Reparation

Status Date: 06/15/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD NO. 01-01485

Date Notice/Process Served: 06/15/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/06/2002

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PSI

Allegations: CLAIMANT ALLEGES THAT NAKED OPTION TRADES WERE UNSUITABLE.

Product Type: Options

Alleged Damages: \$900,000.00

Customer Complaint Information

Date Complaint Received: 06/15/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/15/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD NO. 01-01485

Date Notice/Process Served: 06/15/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/06/2002



Monetary Compensation Amount:	\$150,000.00
Individual Contribution Amount:	\$0.00



End of Report

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